



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of:

John Lightfoot, et al.

Serial No.: 09/728,909

Filed on: December 1, 2000

) Confirmation No.: 2375

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Examiner: SANTOS,  
PATRICK J. D.

Group Art Unit No.: 2171

For: HIERARCHY-BASED SECURED DOCUMENT REPOSITORY

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form, if needed. It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

\_\_\_\_\_ 37 C.F.R. §1.97(b).

  X   37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

      X       A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.

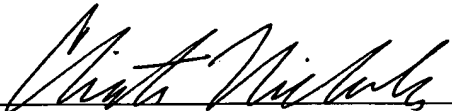
(1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: May 25, 2004

  
\_\_\_\_\_  
Christian A. Nicholes  
Reg. No. 50,266

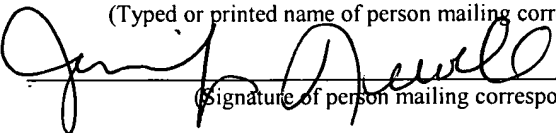
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San Jose, California 95125-5106  
Telephone: (408) 414-1080  
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(Date of Deposit)

Jennifer Newell

(Typed or printed name of person mailing correspondence)

  
\_\_\_\_\_  
(Signature of person mailing correspondence)

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449)</b>	<b>ATTY. DOCKET NO.</b> 50277-1545	<b>SERIAL NO.</b> 09/728,909
	<b>APPLICANT:</b> John Lightfoot, et al.	
	<b>FILING DATE:</b> December 1, 2000	<b>GROUP:</b> 2171

### U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		5,047,918		Schwartz et al.	09-10-1991	
		5,202,982		Gramlich et al.	04-13-1993	
		5,257,366		Adair et al.	10-26-1993	
		5,295,256		Bapat	03-15-1994	
		5,307,490		Davidson et al.	04-26-1994	
		5,388,257		Bauer	02-07-1995	
		5,499,371		Henninger et al.	03-12-1996	
		5,504,892		Atsatt et al.	04-02-1996	
		5,544,360		Lewak et al.	08-06-1996	
		5,561,763		Eto et al.	10-01-1996	
		5,566,331		Irwin, Jr. et al.	10-15-1996	
		5,574,915		Lemon et al.	11-12-1996	
		5,682,524		Freund et al.	10-28-1997	

### FOREIGN PATENT DOCUMENTS

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
		WO	00/14632	A1	Metaphorics, LLC	03-16-2000		
		WO	97/46956	A1	AT&T Corp.	12-11-1997		
		EP	0 856 803	A2	Informix Software, Inc.	08-05-1998		

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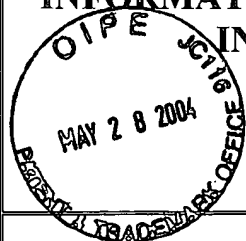
\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(PTO-1449)



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SERIAL NO.  
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APPLICANT:  
John Lightfoot, et al.

FILING DATE:  
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		Number	Kind Code <sup>2</sup> (If known)			
		5,689,706		Rao et al.	11-18-1997	
		5,737,736		Chang	04-07-1998	
		5,758,153		Atsatt et al.	05-26-1998	
		5,822,511		Kashyap et al.	10-13-1998	
		5,825,353		Will	10-20-1998	
		5,832,526		Schuyler	11-03-1998	
		5,848,246		Gish	12-08-1998	
		5,878,434		Draper et al.	03-02-1999	
		5,892,535		Allen et al.	04-06-1999	
		5,915,253		Christiansen	06-22-1999	
		5,918,225		White et al.	06-29-1999	
		5,937,406		Balabine et al.	08-10-1999	
		5,978,791		Farber et al.	11-02-1999	
		5,991,771		Falls et al.	11-23-1999	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
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		6,023,706		Schmuck et al.	02-08-2000	
		6,029,160		Cabrera et al.	02-22-2000	
		6,029,166		Mutalik et al.	02-22-2000	
		6,029,175		Chow et al.	02-22-2000	
		6,052,122		Sutcliffe et al.	04-18-2000	
		6,088,694		Burns et al.	07-11-2000	
		6,092,086		Martin et al.	07-18-2000	
		6,115,741		Domenikos et al.	09-05-2000	
		6,119,118		Kain, III et al.	09-12-2000	
		6,185,574	B1	Howard et al.	02-06-2001	
		6,212,512	B1	Barney et al.	04-03-2001	
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		6,230,310	B1	Arrouye et al.	05-08-2001	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
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		Number	Kind Code <sup>2</sup> (If known)				
		6,233,729	B1	Campara et al.	05-15-2001		
		6,247,024	B1	Kincaid	06-12-2001		
		6,301,605	B1	Napolitano et al.	10-09-2001		
		6,314,408	B1	Salas et al.	11-06-2001		
		6,321,219	B1	Gainer et al.	11-20-2001		
		6,339,382	B1	Arbinger et al.	01-15-2002		
		6,349,295	B1	Tedesco et al.	02-19-2002		
		6,366,921	B1	Hansen et al.	04-02-2002		
		6,366,988	B1	Skiba et al.	04-02-2002		
		6,370,548	B1	Bauer et al.	04-09-2002		
		6,389,427	B1	Faulkner	05-14-2002		
		6,389,433	B1	Bolosky et al.	05-14-2002		
		6,393,435	B1	Gartner et al.	05-21-2002		
		6,397,231	B1	Salisbury et al.	05-28-2002		
		6,421,692	B1	Milne et al.	07-16-2002		
		6,438,550	B1	Doyle et al.	08-20-2002		

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
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09/728,909

**FILING DATE:**  
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**GROUP:**  
2171

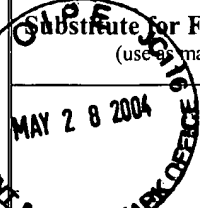
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 Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary)	Attorney Docket No.: 50277-1545	Application Number: 09/728,909
	First Named Inventor: John Lightfoot	
	Filing Date: December 1, 2000	

**OTHER ART – NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
		Herman Chung-Hwa Rao, et al., "An Overview of the Internet File System," 1997, IEEE, XP-002204711, pp. 474-477.	
		Oracle Corporation, "Oracle® iFS (Internet File System," Technical Data Sheet, March 1999, XP-002204710, pp. 1-3.	

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